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Circular CSSF 10/467

## **Manual on the electronic transmission of financial reports**

Version 1.1

|          |   |           |
|----------|---|-----------|
| <b>1</b> | <b>Introduction -----</b>   | <b>3</b>  |
| 1.1      | Circular CSSF 10/467 dated 01/07/2010 -----   | 4         |
| 1.2      | The rules for naming documents to be transmitted -----                                | 5         |
| <b>2</b> | <b>Manual transmission via <a href="http://www.e-file.lu">www.e-file.lu</a> -----</b> | <b>6</b>  |
| 2.1      | Accessing e-file.lu ? -----   | 6         |
| 2.2      | Creating a filing structure (File, Procedure, Envelope) -----                         | 6         |
| <b>3</b> | <b>Automatic transmission via the Sending Service ---</b>                             | <b>12</b> |
| 3.1      | Accessing and understanding the Sending Service tree structure -----                  | 12        |
| 3.2      | Triggering transmissions-----   | 12        |
| 3.2.1.   | At a regular frequency -----  | 12        |
| 3.2.2.   | Your configuration -----  | 13        |
| 3.3      | Making transmissions -----  | 13        |
| 3.3.1.   | Transmitting financial reports-----   | 13        |
| 3.3.1.1. | Business description -----  | 13        |
| 3.3.1.2. | Folder of the Sending Service to be selected -----                                    | 13        |
| 3.3.1.3. | Pre-transmission checks-----  | 13        |
| 3.4      | Initial results and interpretation-----   | 14        |
| <b>4</b> | <b>Monitoring transmitted reports -----</b>   | <b>15</b> |
| 4.1      | Searching transmitted reports -----   | 15        |

# 1 Introduction

The Luxembourg Stock Exchange provides filing entities with a complete solution for the secure transmission of reports (Circular 10/467) to the Commission de Surveillance du Secteur Financier (CSSF) via its Sending Service tool and the [www.e-file.lu](http://www.e-file.lu) portal.

The solution has two available modes of transmission:

- manual transmission by filing on the e-file.lu internet portal.
- automatic transmission via the Sending Service.

These tools integrate end-to-end security, as documents are encrypted by the filing entity and transmitted to the authorities.

## 1.1 Circular CSSF 10/467 dated 01/07/2010

The Circular is available at [http://www.cssf.lu/uploads/media/cssf10\\_467.pdf](http://www.cssf.lu/uploads/media/cssf10_467.pdf) and will be applicable from October 1<sup>st</sup> 2010.

As detailed in the circular, the report to be sent in there definitive form to the CSSF via e-file is:

- Prudential reporting for management company

## 1.2 The rules for naming documents to be transmitted

TYRDIR-ENNNN-YYYY-MM-TAB-LL-C-D-S.ext

Where :

- TYR : constant **SGO**
- DIR : **'REP'** for report to the CSSF and **'FBR'** for Feedback sent by CSSF to reporter.
- E : **'S'** (Management company)
- NNNN : digital number attributed by the CSSF to the entity
- YYYY-MM : year and month (only 03, 06, 09, 12 for month)
  - For « version comptable » ('N') to be sent quarterly: the year and the last month of the quarter which the data is related.
  - For « version définitive » ('D') to be sent annually : the year and the last month of the accounting year.
- TAB : Table **'G21'** for reporting G2.1 of management company to the CSSF.
- LL : Layout **'L2'** for G2.1
- C : Version comptable **'L'**, **'N'** or **'S'**
- D : Version définitive **'D'** or **'N'**
- S : Sub type **'-'**
- ext : extension of file
  - For file **'REP'** : **'xls'** (Excel 2003) or **'xlsx'** (Excel 2007)
  - For file **'FBR'** : **'xml'**

### Examples :

SGOREP-S9999-2009-03-G21-L2-S-N--.xls

SGOREP-S9999-2009-12-G21-L2-L-D--.xlsx

## 2 Manual transmission via [www.e-file.lu](http://www.e-file.lu)

Manual transmission is via the platform [www.e-file.lu](http://www.e-file.lu).

This part of the document thus gives a rapid overview of the means at your disposal to make a manual transmission via the site. However, to go more deeply into the use of e-file, we advise you to refer directly to the e-file user manual available online. Finally, this part requires knowledge of the basic notions of e-file: file, procedure, envelope and document, also explained in the e-file manual.

### 2.1 Accessing e-file.lu ?

Users must first of all have a personal login and password to connect to this service at [www.e-file.lu](http://www.e-file.lu).

Please contact your internal coordinator or Client Relationship Management for more information.

**Service Relations Clients**

Tél : (+352) 28 370 330

[clientservice@fundsquare.net](mailto:clientservice@fundsquare.net)

If you already have a login, go directly to [www.e-file.lu](http://www.e-file.lu). Give your login and password and click 'Validate'.

### 2.2 Creating a filing structure (File, Procedure, Envelope)

Once you are connected to [www.e-file.lu](http://www.e-file.lu), the home page appears.

First of all, you must select the context from the list of choices located at the top right of the home page.

For example: Select '**Reporting des sociétés de gestion**' to enter the context for transmission of procedures relating to Circular 10/467.

NB: The list of choices only contains contexts to which you are personally authorised by your administrator.

The following rules should be followed:

**Rule 1:** Select the proper types of file, procedure and document depending upon the type of file to be transmitted,

**Rule 2:** Observe the file naming convention by referring to the instructions from the authorities,

**Rule 3:** Observe the format of the file and its extension,

**Rule 4:** Only attach reports to be transmitted clear, i.e. the file must not have been previously encrypted by another system.

The screenshot shows the e-file.lu ENCHAÎNEMENT interface. The top navigation bar includes the e-file.lu logo, the word "ENCHAÎNEMENT", and links for Help, Glossary, Contact, Links, and Logout. Below the navigation bar, there is a "Welcome E001RESP utilisateur" message. The main content area is divided into several sections:

- Navigation menu:** Includes a "Welcome E001RESP utilisateur" message and a "New file" button.
- Quick links:** Lists "Procedure" (My current procedures, Current procedures of the group, See all non-assigned procedures...) and "Envelope" (Envelopes to validate 0).
- Advanced search:** Includes a "Use file and procedure search..." button.
- Alerts:** Includes a "Filter alerts by: Event" dropdown (set to "All events") and a "File name" dropdown (set to "All files"). Below this is a table titled "List of latest alerts" with columns: Event, File name, Concerned entity, Procedure, Procedure identifier, Event date, and Subject. The table is currently empty.
- Envelopes:** Includes a "List of unread envelopes" table with columns: Item Id, Date of receipt, File name, Procedure, Subject, Sender entity, Sender, and Attached document. The table is currently empty.

At the bottom right, there is a copyright notice: "Copyright ©Luxembourg Stock Exchange / Finesti All rights reserved".

Click on “**New File**” (or search an existing file, as required).

The screenshot shows the e-file.lu ENCHAÎNEMENT interface with the "New file" form open. The form is titled "New file" and includes a sub-header "File information". The form fields are:

- Filing Entity identifier:** A text input field.
- File name:** A text input field containing the value "Test".
- Owner entity:** A dropdown menu showing "Entité E001".
- File type:** A dropdown menu showing "Luxembourg open-end UCI".

Below the form fields, there is a "Create" button and a "Back to search" button. At the bottom, there is a note: "Creating procedures will be the next step. With each procedure you will be able to exchange documents with the depositor concerned (using envelopes)". The copyright notice "Copyright ©Luxembourg Stock Exchange / Finesti All rights reserved" is also present.

For file type, select “**Luxembourg open-end UCI**”.

You then access the File record.

**File sheet**

File : Test - Filing Entity : Entite E001

**File information**

|                 |                         |               |             |
|-----------------|-------------------------|---------------|-------------|
| Identifier      | 40753                   | Status        | In progress |
| File identifier |                         | Creation date | 03/09/2010  |
| Owner entity    | Entite E001             | Closing date  | -           |
| File type       | Luxembourg open-end UCI |               |             |

Modify Delete Close file

**Attached funds**

This file has no attached fund.

You can request the attachment of one or more funds to the file. For each fund, provide its CSSF code and click on the button [Request for attachment]. Caution: fund information is accessible only when the Authority has validated the request for attachment.

Request for attachment

**Procedures**

| Sel.   | Procedure | Initiator label | Initiator Agent (Entity) | Start date | Recipient Agent (Entity) | Procedure code | Status |
|--|-----------|-----------------|--------------------------|------------|--------------------------|----------------|--------|
| <input type="button" value="New procedure"/> <input type="button" value="New multiple procedures envelope"/> |           |                 |                          |            |                          |                |        |

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Click on “New procedure” button.

**New procedure**

File : Test - Initiator : Entite E001

**Procedure info**

Procedure: Financial informations of a management company See internal procedures ☐

Recipient entity / Group: (Select a recipient entity) (Select a group)

Initiator description:

Initiator Agent: utilisateur E001RESP

Proprietary service: Reporting des Sociétés de Gestion

**Publication info**

Launch date:

Desired publication date:

Create Previous page

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Select the “Financial informations of a management company” procedure.

It is possible in the same file to create several procedures of the same type in the status *Created* or *Started*.



You then access the Procedure file. So in the main information you note that the procedure is in the status **Created**.

Navigation menu | Welcome **E001RESP utilisateur** | Help | Glossary | Contact | Links | Logout | Reporting des Sociétés de Gestion - Supervisor

**Procedure : Financial informations of a management company**

File : Test - Initiator : Entite E001 - Adresse : CSSF - Unread envelopes : 0

Procedure Information | **Envelopes & documents** | Publications | Progress report

**Procedure info**

|                        |  |               |            |
|------------------------|--|---------------|------------|
| Identifier             | 2779594  | Status        | Created    |
| Procedure code         | -  | Creation date | 03/09/2010 |
| Procedure              | Financial informations of a management company | Start date    | -          |
| Addressee              | CSSF   | Closing date  | -          |
| <b>Initiator Agent</b> | utilisateur E001RESP                           |               |            |
| Initiator Group        | Reporting des Sociétés de Gestion              |               |            |
| <b>Recipient Agent</b> | -  |               |            |
| Recipient Group        | Rapport societe de gestion                     |               |            |
| Initiator description  |  |               |            |

Modify Delete

Back to file sheet

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Select the **“Envelopes & Documents”** folder.

Navigation menu | Welcome **E001RESP utilisateur** | Help | Glossary | Contact | Links | Logout | Reporting des Sociétés de Gestion - Supervisor

**Procedure : Financial informations of a management company**

File : Test - Initiator : Entite E001 - Adresse : CSSF - Unread envelopes : 0

Procedure Information | **Envelopes & documents** | Publications | Progress report

View by : ☒ Received/sent envelopes ☐ Sent documents

New envelope Refresh Back to file sheet

**Received items**

| Item Id | Date of receipt | Subject | Sender | Attached documents |
|---------|-----------------|---------|--------|--------------------|
|         |                 |         |        |                    |

**Sent items**

| Item Id | Sent | Subject | Sender | Attached documents |
|---------|------|---------|--------|--------------------|
|         |      |         |        |                    |

New envelope Refresh Back to file sheet

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To transmit your documents, click on **“New envelope”**.

Welcome **E001RESP utilisateur**

### New envelope

**Procedure :** Financial informations of a management company - **File :** Test - **Send by :** Entite E001 - **Unread envelopes :** 0

**Envelope info**

Status: Draft  
 Sender: E001RESP utilisateur  
 Subject:   
 Text:

**Save as draft** **Send for validation** **Send**

**Attached documents** **Attach document**

| Name  | Type   | Date of document     | Encrypted                           |
|---|--|----------------------|-------------------------------------|
| <input checked="" type="checkbox"/> <input type="text"/> <input data-bbox="566 952 662 974" type="button" value="Browse..."/> | Management company report<br>(Select a document type)<br>Management company report | <input type="text"/> | <input checked="" type="checkbox"/> |

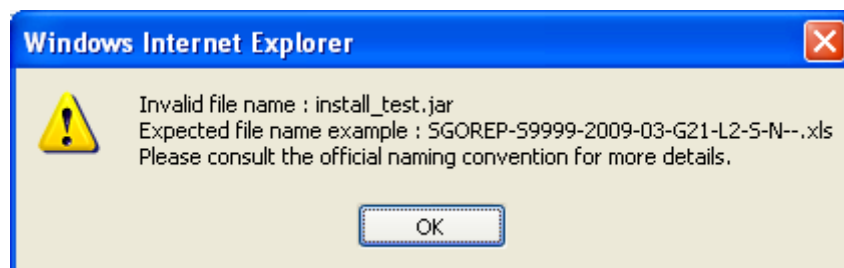
\* A date has to be specified  
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Give the object and the text of your message and then click on **“Attach a document”**.

Search for your PDF file using the **“Browse...”** function, select the type of document corresponding to your file and enter the date of the document if an asterisks (\*) appears.

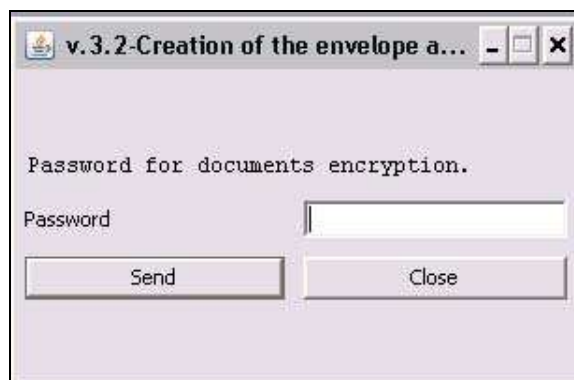
By default the **“Encrypted”** box is ticked.

Click on **“Send”** to start transmission.

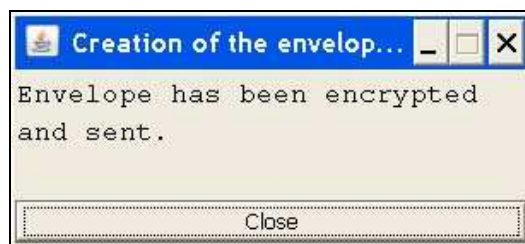


An error message will appear if the file name is incorrect

If file names and their extensions are correct, the encrypting module will then be triggered. If one of the documents is to be encrypted then your keystore password is necessary.

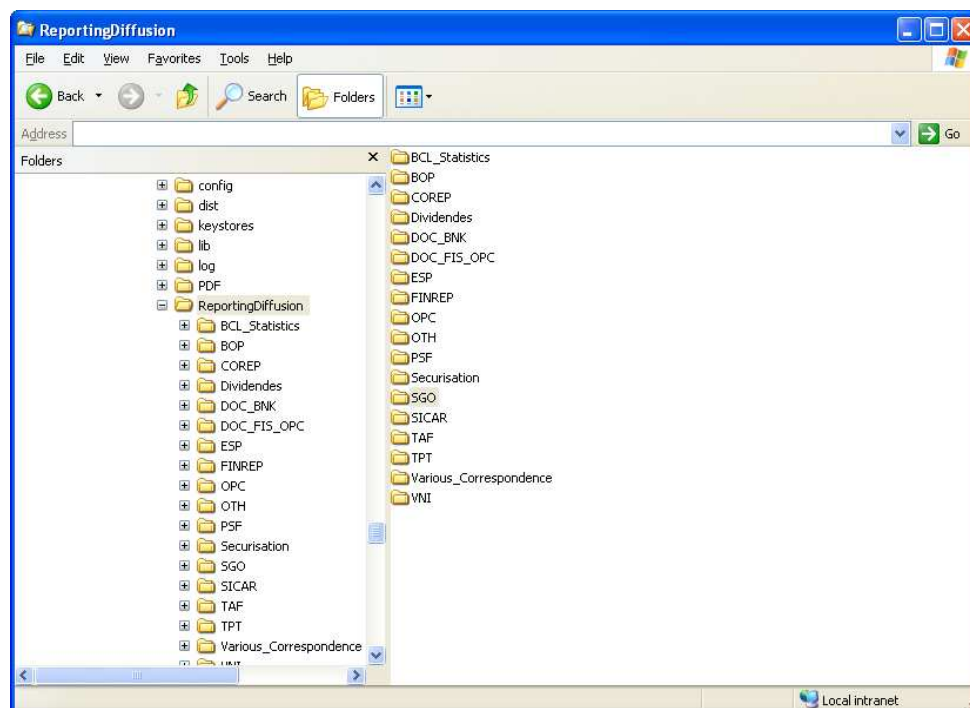


Once the transmission has been completed this window will appear:



## 3 Automatic transmission via the Sending Service

### 3.1 Accessing and understanding the Sending Service tree structure



Physically, the Sending Service is represented as a traditional tree structure.

Reports of CSSF 10/457 circular are to be stored in the “DOC\_BNK” folder (see screen shot).

### 3.2 Triggering transmissions

#### 3.2.1. At a regular frequency

Each folder is scanned by the Sending Service at a regular frequency. That frequency is specific to each folder and is defined when the solution is implemented with your company’s project coordinator (Sending Service configuration file).

In order to facilitate configuration, the Luxembourg Stock Exchange has set a standard default frequency. If the coordinator has given other instructions, frequencies may therefore vary.

The default value of the scanning frequency is set to **30 minutes**. This means therefore that each folder is scanned every 30 minutes from the last service start.

### 3.2.2. Your configuration

It is also possible to personalise frequencies, the hours fixed in relation to your company's requirements, folder by folder. Please contact your project coordinator if you need to know your specific configuration.

## 3.3 Making transmissions

As explained above, the automatic transmission is made simply by filing your files directly in a folder. The following four rules must be applied however:

**Rule 1:** select the proper folder depending upon the document(s) to be transmitted,

**Rule 2:** observe the naming convention of files to be transmitted by referring to the instructions in the Circular,

**Rule 3:** observe the format of the file and its extension,

**Rule 4:** file the files to be transmitted in clear in the folder selected, i.e. the file must not have been previously encrypted by another system.

### 3.3.1. Transmitting financial reports

#### 3.3.1.1. Business description

The documents concerned are:

#### Remise de rapports financiers (circ. 10/467)

Reporting prudentiel

SGOREP-SNNNN-YYYY-MM-G21-L2-C-D--.ext

#### 3.3.1.2. Folder of the Sending Service to be selected

.../ReportingDiffusion/SGO/

#### 3.3.1.3. Pre-transmission checks

The Sending Service performs the following checks:

- file names: long form or management letter report
- file extension: 'xls' or 'xlsx' extensions are expected. The Sending Service ignores all other types of file without generating an error message.
- internal file formats are not verified.

### 3.4 Initial results and interpretation

Once the Sending Service has taken account of the reports filed in the different folder, it returns some result files in the original folder.

Three types of result files are possible:

**Extension '.TRT':** indicates that the Sending Service has scanned the folder and started the process of transmission to e-file.

**Extension '.ACQ':** indicates that the transmission to e-file is effective.

**Extension '.ERR':** indicates that the transmission has not been possible: firstly a check should be made that the four 4 rules indicated previously have been applied.

#### Note concerning files with the extension '.TRT'

The result file with the extension '.trt' is the "original" file renamed. It is thus possible to find your original file easily if necessary, by renaming it with its original name.

Here is the rule for naming the result file .trt.

In standard operation (original files are filed directly in a folder):

If the original file is *nomDuFichierOrigine.xls*

where *nomDuFichierOrigine*: the name of the original file to be transmitted

When the result file .trt will be *nomDuFichierOrigine.xls\_Traitement.trt*

with *Traitement*: a digital counter providing a time stamp.

#### Note concerning files with the extension '.ERR'

Result files with the extension '.err' are "error" files.

They contain technical messages which assist in diagnosing the problem.

File naming errors are stored in this file.

An empty file (size 0 KB) means that the transmission has been made without error.

It is possible to change the configuration so as not to generate the error file if the transmission is correct.

## 4 Monitoring transmitted reports

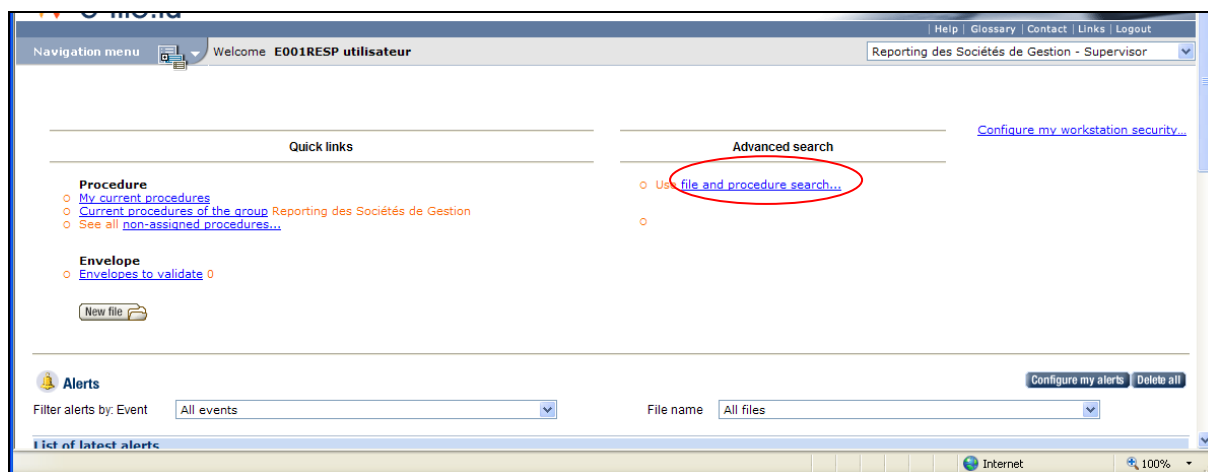
Filings and responses from the CSSF can be monitored via the platform [www.e-file.lu](http://www.e-file.lu).

This part of the document thus gives a rapid overview of the means at your disposal to monitor your filings and to access the various responses from the authorities. However, to go more deeply into the use of e-file, we advise you to refer directly to the e-file user manual available online. Finally, this part requires knowledge of the basic notions of e-file: file, procedure, envelop and document, also explained in the e-file manual.

### 4.1 Searching transmitted reports

Once you are connected to [www.e-file.lu](http://www.e-file.lu), the home page will appear.

Click on ‘Search files and procedures ...’ under ‘Advanced search’.



The advanced search page is displayed:

**File and procedure search**

You can use several *cumulative search criteria* to access your data:  
By identifier, name, procedure, description, file status or dates of the file.

| by identifier                      |                      | by date comparison   |                          |
|------------------------------------|----------------------|----------------------|--------------------------|
| Portal identifier of the file      | <input type="text"/> | File creation date   | min <input type="text"/> |
| File identifier                    | <input type="text"/> |                      | max <input type="text"/> |
| Portal identifier of the procedure | <input type="text"/> | File close date      | min <input type="text"/> |
| Procedure identifier               | <input type="text"/> |                      | max <input type="text"/> |
|                                    |                      | Procedure start date | min <input type="text"/> |
|                                    |                      |                      | max <input type="text"/> |
|                                    |                      | Procedure end date   | min <input type="text"/> |
|                                    |                      |                      | max <input type="text"/> |

| by file information |                      | by security description |                      |
|---------------------|----------------------|-------------------------|----------------------|
| Owner entity        | All owner entities   | CSSF code               | <input type="text"/> |
| File name           | <input type="text"/> | ISIN code               | <input type="text"/> |
| File status         | In progress          | Security name           | <input type="text"/> |
| File type           | All file types       |                         |                      |

| by procedure information |                     |
|--------------------------|---------------------|
| Procedure                | All procedure types |
| Initiator Agent          | All agents          |
| Recipient Agent          | All agents          |
| Procedure status         | All statuses        |

Specify **at least one** of the above criteria and click "Validate" button to obtain the result.  
Generic characters % and ? can be used. Case specifications are maintained.

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Enter your criteria and click on 'Validate' to begin your search.

#### Criteria for searching financial reports:

- File name
- Procédure type : **Financial informations of a management company**
- Procedure status:

**Created:** the procedure has been created but the envelope has not yet been transmitted.

**Started:** an envelope has been transmitted

**Closed:**

the approved prospectuses are returned by the CSSF in the same procedure  
the prospectuses (or financial reports) of the procedure are published

- File creation date
- Procedure start date : date of envelope transmission

The list of results is displayed with the files and procedures relating to the entered criteria's.



| <div> <div>Navigation menu</div> <div>Welcome E001RESP utilisateur</div> <div> <a href="#">Help</a>   <a href="#">Glossary</a>   <a href="#">Contact</a>   <a href="#">Links</a>   <a href="#">Logout</a> </div> </div>   |               |  |            |                     |                  |
|---|---------------|--|------------|---------------------|------------------|
| <div>Reporting des Sociétés de Gestion - Supervisor</div>   |               |  |            |                     |                  |
| <b>File and procedure search</b><br>Your search criteria were:<br><b>File name</b> : test - <b>File status</b> : In progress - <b>Procedure</b> : Financial informations of a management company - <b>Procedure status</b> : Started - <b>Procedure start date</b> : 03/03/2010 - <b>min</b> : 03/03/2010 |               |  |            |                     |                  |
| <b>List of found files</b>  |               |  |            |                     |                  |
| File name   | Correspondent | Procedure  | Start date | Correspondent agent | Procedure status |
| <a href="#">Test</a>  | CSSF          | <a href="#">Financial informations of a management company</a> | 03/09/2010 |                     | Started          |
| <a href="#">test</a>  | CSSF          | <a href="#">Financial informations of a management company</a> | 03/09/2010 |                     | Started          |

By clicking on the links in the list of procedures, the procedure record is displayed.

From the procedure record, you can display the documents transmitted by selecting 'Envelopes & Documents'.

Navigation menu

Welcome E001RESP utilisateur

Help

Glossary

Contact

Links

Logout

Reporting des Sociétés de Gestion - Supervisor

Procedure Information

Envelopes & documents

Publications

Progress report

View by :

☒ Received/sent envelopes
 ☐ Sent documents

Refresh

Back to file sheet

Received items

| Item Id                                | Date of receipt  | Subject  | Sender       | Attached documents |
|--|------------------|--|--------------|--------------------|
| <div>▼</div> <div>▲</div> <div>1</div> | ▼                |  | ▼            | 1                  |
| <div></div> <div>2824790</div>         | 03/09/2010 09:56 | Réponse technique à l'envoi du reporting: ReportingSGO | SGO CSSF API | 1                  |

Sent items

| Item Id                                | Sent             | Subject | Sender               | Attached documents |
|--|------------------|---------|----------------------|--------------------|
| <div>▼</div> <div>▲</div> <div>1</div> | ▼                |         | ▼                    | 1                  |
| <div></div> <div>2824788</div>         | 03/09/2010 09:46 | test    | E001RESP utilisateur | 1                  |

Refresh

Back to file sheet

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Two lists are then available: *transmissions completed* and *envelopes received*, i.e. documents transmitted and responses from the CSSF.

It should be noted that the envelopes received can be viewed directly in the in-box until they have been read by someone in your company. Once they have been read, it is still possible to find them by advanced search.